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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Tsuyoshi MATSUDA; Tatsuhiko HIRANO; Junhui OH; Atsunori KAWAMURA; Kenji SAKAI
Application No.:	10/574115
Filed:	September 30, 2004
For:	POLISHING COMPOSITION AND POLISHING METHOD
Group Art Unit:	Not Assigned

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Docket No.: O11.21-13210-US01

INFORMATION DISCLOSURE STATEMENT

Listed below or on an attached form listing the cited references and/or a copy of a PTO-892 form is information known to applicant(s). A copy of each listed foreign patent and each listed publication other than U.S. patents and U.S. patent application publications is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98, **except that** U.S. patents and U.S. published applications from which priority is claimed under 35 U.S.C. §120, and documents cited in such priority applications, may be omitted from the enclosures pursuant to 37 C.F.R. 1.98(d). Applicant's submission of copies of unpublished U.S. applications does not constitute a waiver of the confidentiality of such applications. As such, **Applicant requests that any copies of unpublished US applications submitted herewith be excluded from the file wrapper pursuant to 37 C.F.R. §1.14.**

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If the form listing the cited references or PTO-892 from a prior application is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is prior art, or is or is considered to be, material to patentability as defined in §1.56.

Applications that are listed on the accompanying form listing the cited references as related by priority are related by priority claim under 35 USC §120. Pursuant to 37 CFR §1.98(d), no copies of cited art in a previous application(s) to which priority was claimed need be submitted. Applicant is providing copies of the form listing the cited references and/or 892 forms from these cases.

☒ I. This statement qualifies as a no-fee Information Disclosure Statement under 37 C.F.R. §1.97(b) or otherwise because to the knowledge of the undersigned attorney it is being filed (check all that apply):

- ☐ (1) within 3 months of the filing date of the application (other than a CPA); or
- ☐ (2) within 3 months of entry of the national stage; or
- ☒ (3) before the mailing of a first Office Action on the merits;
- ☐ (4) before the mailing of a first Office Action after the filing of a request for continued examination (RCE) under §1.114;
- ☐ (5) as part of a continued prosecution application (CPA); or
- ☐ (6) during the period of a suspension of action for a CPA under 37 C.F.R. §1.103(b).

☐ II. This statement is believed to require a fee or the submission of a certification under 37 C.F.R. §1.97 (c) or otherwise. If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application (other than CPA); (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; (3) the mailing of a first Office Action on the merits; (4) the mailing of a first Office Action after the filing of a request for continued examination under §1.114; or (5) after the filing of a request for a continued prosecution application, but before the mailing date of the earlier of a final office action under §1.113, a notice of allowance under §1.311 or an action that otherwise closes prosecution in the application, then:

- ☐ (1) a certification as specified in §1.97(e) is provided below; or

\_\_\_\_\_ (2) a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

\_\_\_\_\_ III. 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113, a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application, but before payment of the issue fee, then:

\_\_\_\_\_ (1) a certification as specified in §1.97(e) is completed below; and

\_\_\_\_\_ (2) a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with payment of other papers filed together with this statement.

  X   IV. *Fee Authorization.* If any fee is due for consideration of this Information Disclosure Statement and full payment has not been submitted herewith, regardless of which boxes have been checked above, the Commissioner is hereby authorized to charge any additional fees associated with this communication to Deposit Account No. 22-0350. The Commissioner is hereby authorized to credit any overpayment associated with this communication to Deposit Account No. 22-0350.

*If paragraph II.1 or III is checked, also check one of the paragraphs below*

\_\_\_\_\_ I hereby certify, under 37 CFR §1.97(e)(1), that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the date of the filing of this information disclosure statement.

\_\_\_\_\_ This communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

\_\_\_\_\_ I hereby certify, under 37 CFR §1.97(e)(2), that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the

information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

*For the purpose of this certification, Applicant considers the PCT International Search Authority to constitute a foreign patent office.*

If this Information Disclosure Statement has been submitted without the appropriate box checked, Applicant requests that this Information Disclosure Statement be considered nevertheless if it is timely submitted under any of the provisions of 37 C.F.R. §1.97 or otherwise. Finally, if any petition is necessary to ensure consideration of this Information Disclosure Statement, Applicant requests that this be treated as such a petition.

Respectfully submitted,

VIDAS, ARRETT & STEINKRAUS

Date: August 10, 2006

By: \_\_\_\_\_

  
Scott Q. Vidas

Registration No.: 30812

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<b>Group Art Unit:</b>	<b>Not Assigned</b>

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**Docket No.: O11.2I-13210-US01**

**TRANSMITTAL LETTER**

1. In regard to the above-identified application, in addition to this **2 page** transmittal letter, we are submitting the attached:  
**4 pages Information Disclosure Statement; 1 page listing of US references; 1 page listing of Foreign references; 16 references; 5 pages English translation of the PCT International Preliminary Report; and Return Postcard.**
2. With respect to fees:  
☒ **No additional fee is believed to be required.**  
☐ Attached is check(s) in the amount of \$  
☒ Charge additional fee to our Deposit Account No. 22-0350.
3. **CONDITIONAL PETITION FOR EXTENSION OF TIME**  
This conditional petition is being filed along with the papers identified in Item 1 above and provides for the possibility that Applicant has inadvertently overlooked the need for a petition and fee for extension of time or for a petition and fee for any other matter petitionable to the Commissioner as required. If any extension of time for the accompanying response is required or if a petition for any other matter is required, by petitioner, Applicant requests that this be considered a petition therefor.
4. Notwithstanding paragraph 2 above, if any additional fees associated with this communication are required and have not otherwise been paid, including any fee associated with the Conditional Petition for Extension of Time, or any request in the accompanying papers for action which requires a fee as a petition to the Commissioner, please charge the additional fees to Deposit Account No. 22-0350.

Please charge any additional fees or credit overpayment associated with this communication to the Deposit Account No. 22-0350.

Respectfully submitted,

VIDAS, ARRETT & STEINKRAUS

Date: August 10, 2006

By: \_\_\_\_\_

  
Scott Q. Vidas

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**Certificate Under 37 CFR 1.8:** I hereby certify that this Transmittal Letter and the paper(s) as described herein, are being deposited in the U.S. Postal Service, as FIRST CLASS MAIL, addressed to Mail Stop Amendment, Commissioner for Patent, P.O. Box 1450, Alexandria, VA 22313-1450, on August 10, 2006.

  
Robin Peddieson



<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b> (Use several sheets if necessary)				ATTY DOCKET NO.: 011.2-13210-US01		APPLICATION NO.: 10/574115	
				APPLICANT: MATSUDA, et al.			
				FILING DATE: March 30, 2006		GROUP: Not Assigned	
<b>REFERENCE DESIGNATION</b>				<b>U.S. PATENT AND PUBLISHED APPLICATION DOCUMENTS</b>			
<b>EXAM'S INIT.</b>		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS/ SUBCLASS</b>	<b>FILING DATE IF APPROPRIATE</b>	
/MM/	AA	6428721	08/06/2002	Ina, et al.	252/79.4		
/MM/	AB	6440186	08/27/2002	Sakai, et al.	51/308		
/MM/	AC	6838016	07/04/2005	Sakai, et al.	252/79.1		
/MM/	AD	6679929	01/20/2004	Asano, et al.	51/308		
/MM/	AE	6773476	08/10/2004	Sakai, et al.	51/307		
/MM/	AF	5428721	06/27/1995	Sato, et al.	395/133		
/MM/	AG	6440186	08/27/2002	Sakai, et al.	51/308		
/MM/	AH	5391258	02/21/1995	Brancaleonia, et al.	156/636		
/MM/	AI	5575885	11/19/1996	Hirabayashi, et al.	156/626.1		
/MM/	AJ	5858813	01/12/1999	Scherber, et al.	438/693		
	AK	5128853	10/03/2000	Kaufman, et al.	252/79.1		
/MM/	AL	5476606	12/19/1995	Brancaleonia, et al.	252/79.1		
/MM/	AM	5770095	06/23/1998	Sasaki, et al.	216/38		
/MM/	AN	5954997	09/21/1999	Kaufman, et al.	252/79.1		
/MM/	AO	6432828	08/13/2002	Kaufman, et al.	438/693		
/MM/	AP	6568996	05/27/2003	Kobayashi, et al.	451/36		
/MM/	AQ	6689692	02/10/2004	Grover, et al.	438/691		
/MM/	AR	2004-0084414	05/06/2004	Sakai, et al.	216/88		
/MM/	AS	2005-0108949	05/26/2005	Matsuda, et al.	51/308		
/MM/	AT	2005-0208761	09/22/2005	Oh, et al.	438/645		
/MM/	AU	2003-0166337	09/04/2003	Wang, et al.	438/689		
/MM/	AV	2003-0219982	11/27/2003	Kurata, et al.	438/692		
	AW						
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	AZ						
<b>EXAMINER</b>			<b>DATE CONSIDERED</b> /Michael Marcheschi/ (04/07/2008)				

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b> (Use several sheets if necessary)		ATTY DOCKET NO.: 011.2-13210-US01		APPLICATION NO.: 10/574115	
		APPLICANT: MATSUDA, et al.			
		FILING DATE: March 30, 2006		GROUP: Not Assigned	
<b>FOREIGN PATENT DOCUMENTS</b>					
		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>COUNTRY</b>	
/MM/	BA	2000-160141	06/13/2000	JP	
	BB	11-021546	01/26/1999	JP	
	BC	2000-160139	06/13/2000	JP	
	BD	2001-089747	04/03/2001	JP	
	BE	2001-247853	09/14/2001	JP	
	BF	WO 01/32794 A1	05/10/2001	PCT / WO	
	BG	2003-124158	04/25/2003	JP	
	BH	2000-243730	09/08/2000	JP	
	BI	11-116942	04/27/1999	JP	
	BJ	2000-252242	09/14/2000	JP	
	BK	WO 00/13217	03/09/2000	PCT / WO	
	BL	WO 00/17006	03/08/2001	PCT / WO	
	BM	WO 00/39844	07/06/2000	PCT / WO	
	BN	WO 01/13417 A1	02/22/2001	PCT / WO	
	BO	WO 03/020839 A1	03/13/2003	PCT / WO	
	BP	WO 03/104350 A1	12/18/2003	PCT / WO	
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	BY				
	BZ				
<b>EXAMINER</b>			<b>DATE CONSIDERED</b> /Michael Marcheschi/ (04/07/2008)		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					